

**Safety Management
Functions, Responsibilities, and Authorities
of the Office of the Assistant Secretary for
Environment, Safety and Health**

November, 2002

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Safety Management Functions, Responsibilities, and Authorities of the Office of the Assistant Secretary for Environment, Safety and Health

1.0 INTRODUCTION

Department of Energy (DOE) Manual (M) 411.1-1B, "Safety Management Functions, Responsibilities, and Authorities Manual," describes the DOE "corporate" functions, responsibilities, and authorities for conducting operations safely at DOE facilities. The Manual is based on and organized around the five core safety management¹ functions of the DOE Integrated Safety Management System (ISMS) described in DOE Policy (P) 450.4, "Safety Management System." DOE M 411.1-1A requires that each DOE organization that has a direct or indirect effect on the safe management of work conducted at DOE facilities develop a document that describes the organization's safety management functions, responsibilities, and authorities as they relate to these five core safety management functions.

This document describes the environmental, safety, and health (ES&H) management functions, responsibilities, and authorities of the Office of Environment, Safety and Health (EH). While EH does not have direct line safety management functions and responsibilities, it does have functions and responsibilities to establish the ES&H policy, requirements and standards necessary for safely conducting DOE activities. It also has functions and responsibilities to establish and manage DOE corporate safety programs; to support DOE senior and line management in assuring that DOE and its contractors are performing work in a safe, effective, and responsible manner; and to investigate and enforce potential violations of nuclear safety rules.

2.0 ORGANIZATION AND MISSION

The Assistant Secretary for Environment, Safety and Health serves as the designated safety official and the principal advisor to the Secretary of Energy on matters relating to protection of the environment, workers, and the public from hazards posed by DOE facilities and operations. The Office's overall mission is to accomplish the following:

- Develop and maintain DOE ES&H policy, requirements, standards and guidance;
- Serve as DOE's "corporate" advocate to advise the Secretary, the Administrator of the National Nuclear Security Administration (NNSA), the program secretarial officers (PSOs), and the field element managers (FEMs) on ES&H issues and performance trends;

¹ In the context of DOE's integrated safety management system, the term "safety" encompasses "environment, safety and health" functions to the extent that those functions relate to the safe management of DOE facilities or activities.

- Establish and manage DOE corporate safety programs that are considered necessary to meet ES&H requirements or to fulfill DOE expectations for the safe and healthy conduct of work at DOE sites;
- Support DOE's position and coordinate interaction with regulators and other external stakeholders for development of ES&H regulations and standards and provide guidance to the Secretary, the PSOs, and the FEMs in response to changing external requirements;
- Provide ES&H technical resources and programs that support and assist line management in fulfilling DOE's mission;
- Investigate and issue or recommend enforcement actions for violations by contractors of nuclear safety requirements under the Price-Anderson Amendments Act of 1988 provisions of the Atomic Energy Act (AEA); and
- Promote the health of DOE workers and communities.

The eight offices within EH listed below support its overall mission. Table 1 of this document lists the specific functions and responsibilities of each of the listed offices that pertain to safety management, but it does not list all EH functions as not all of the functions and responsibilities performed by EH (e.g., health studies and worker advocacy functions) pertain to the safe management of DOE facilities or activities.

Deputy Assistant Secretary for Corporate Safety Assurance (EH-2).

EH-2 serves as a corporate asset to the Department, stakeholders, and line management in assessing, facilitating, achieving, and assuring excellence and continuous improvement in ES&H management and performance. EH-2 employs proven techniques and activities, such as management-requested field assessments and technical support, safety analysis reviews, event and accident investigations, operational readiness reviews, special reviews, and support of the integration of safety into DOE projects. The Office also coordinates resolution of cross-cutting issues and provides support to the DOE Emergency Management Team.

Deputy Assistant Secretary for Performance Assessment and Analysis (EH-3).

EH-3 provides independent technical evaluation of the Department's effectiveness, vulnerabilities, and trends in protecting the public, the workers, and the environment. It serves as the focal point for the collection, analysis, and dissemination of environment, safety, and health performance data and for ensuring ES&H is adequately addressed in DOE contracts. The Office manages the DOE Lessons Learned and Operating Experience Program including the dissemination of best practices. EH-3 also serves as the sponsor for dissemination of Integrated Safety Management (ISM) resource information.

Deputy Assistant Secretary for Environment (EH-4).

EH-4 promotes environmentally responsible management practices throughout DOE and supports program and field offices in achieving this end by providing guidance in meeting current and oncoming compliance issues. EH-4 provides the central Department coordinating point on environmental requirements and regulations proposed by DOE and other Federal agencies. EH-4 also establishes DOE-wide policies and guidance for environmental protection and compliance and promotes national environmental goals through effective National Environmental Policy Act (NEPA) compliance, which includes independent review and approval of NEPA documents.

Deputy Assistant Secretary for Safety and Health (EH-5).

EH-5 develops, manages, and directs comprehensive programs that provide effective health and safety policy, requirements, guidance and technical standards that address the hazards (e.g., nuclear, industrial, chemical, and biological) of DOE activities. The office also maintains a formal liaison with external safety and health regulators, internal DOE program and line elements, contractor organizations, and external organizations relating to health and safety policy and standards. The Office develops and manages many Department-wide health and safety programs designed to improve safety performance, including the DOE Technical Standards Program.

Deputy Assistant Secretary for Health Studies (EH-6).

EH-6 promotes the health of DOE workers and communities surrounding DOE sites by developing and managing programs that focus on providing medical information and policy, and by producing epidemiologic studies that furnish information applicable to the prevention of illness and injury. EH-6 shares exposure and medical surveillance information with DOE and contractor employees, worker representatives, and the public.

Deputy Assistant Secretary for Planning and Administration (EH-7).

EH-7 provides centralized management and direction of EH-wide planning, budgeting, financial, and program execution processes; ensures that these processes are effective, fully integrated, and consistent with DOE-wide processes and requirements; and provides administrative support to EH's policy development, and oversight programs.

Director, Office of Worker Advocacy (EH-8).

EH-8 helps current and former employees of DOE contractors with qualifying occupational illnesses obtain benefits through State workers' compensation programs. The Office provides worker liaisons with State Workers Compensation offices to facilitate such claims. The Office sponsors an Advisory Committee of stakeholders from State agencies workers unions, medical

and public health organizations to advise the Office on its advocacy practices and procedures. EH-8 operates a toll-free hotline for workers who are interested in filing workers' compensation claims with their state programs or need assistance with previously filed claims and provides education and outreach to workers and their families, unions, and others to inform them about the benefits and assistance available to sick workers and their survivors.

Director, Enforcement and Investigations (EH-10).

EH-10 carries out the Department's function under the Price-Anderson Amendments Act of 1988 provisions of the Atomic Energy Act for investigation and potential enforcement of violations by contractors of DOE nuclear safety requirements.

3.0 DELEGATION OF AUTHORITY

As delineated in DOE M 411.1-1B (the FRAM), the Assistant Secretary for Environment, Safety and Health (AS EH) has various safety management responsibilities. Within EH, these responsibilities are discharged either by the Assistant Secretary or through the respective offices of the deputy assistant secretaries (DASs) and office directors as agents of the Assistant Secretary.

4.0 DOCUMENT CONTROL

The Assistant Secretary for Environment, Safety and Health approves EH's safety management functions, responsibilities, and authorities as described in this document. The Deputy Assistant Secretary for Planning and Administration is responsible for distributing approved copies, and EH-53 is responsible for keeping this document current.

5.0 FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES

DOE M 411.1-1B lists the functions, responsibilities, and authorities of the Office of the Assistant Secretary for Environment, Safety and Health, either as the sole responsibility of the office, or as a general duty of each Secretarial office. These functions, responsibilities, and authorities correlate to the five core safety management functions described in DOE P 450.4, with the addition of "Provide Direction."

- (A) *Provide Direction.*** Those activities which define and shape DOE's missions, such as strategic plans, budget allocation plans, and safety management policies and requirements, are developed and communicated.
- (B) *Define Scope of Work.*** Missions are translated into work, expectations are set, tasks are defined and prioritized, and resources considered.

- (C) **Analyze Hazards.** Hazards associated with the work are identified, analyzed, and categorized.
- (D) **Develop and Implement Controls.** Applicable standards, requirements, and controls to prevent/mitigate hazards are identified and agreed upon; the controls are implemented; and the safety envelope is established.
- (E) **Perform Work.** Readiness is confirmed and work is performed safely.
- (F) **Collect Feedback and Pursue Improvement.** Feedback information on the adequacy of controls is generated, gathered, and shared; opportunities for improving the definition and planning of work are identified and implemented; line and independent oversight is conducted; and if necessary, regulatory enforcement actions are taken.

6.0 TABLE OF EH SAFETY MANAGEMENT FUNCTIONS/ASSIGNMENTS

EH's specific functions, responsibilities, and authorities are summarized in Table 1. They are organized around the six core safety management functions listed in section 5. The entries in Table 1 are numbered consistent with the FRAM. Not all items from the FRAM are listed in the Table 1. The only FRAM entries listed in Table 1 are those which contain responsibilities and authorities which apply to EH; hence the numbers are not sequential.

7.0 TABLES OF DOE RULES AND DIRECTIVES FOR WHICH EH IS THE OFFICE OF PRIMARY INTEREST (OPI)

Table 1 identifies a number of unique functions and responsibilities for rules and directives for when EH is the OPI. Tables 2 and 3 list the specific DOE rules and DOE directives for which EH is the OPI and identifies the offices in EH that are responsible for each of these rules and directives.

Table 1 - EH Safety Management Functions/ Assignments

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
<p>9.1 Provide Direction</p> <p>a. The Assistant Secretary for Environment, Safety and Health has been assigned as the Designated Agency Safety and Health Officer (DASHO) for DOE by the Secretary to represent effectively the interest and support of the Secretary in the management and administration of the DOE Federal occupational safety and health (OSH) program, as provided in 29 Code of Federal Regulations (CFR) 1960.6.</p> <p>b. The Assistant Secretary for Environment, Safety and Health has been designated by the Secretary as the Agency Environmental Executive, pursuant to Executive Order 13101 (Greening the Government through Waste Prevention, Recycling, and Federal Acquisition). The Agency Environmental Executive is responsible for coordinating environmental programs relating to procurement and acquisition, waste prevention and recycling, and annual reporting on the Department's progress in implementing Executive Order 13101.</p>	<p>a. Perform the activities of the DASHO for DOE.</p> <p>b. Manage and administer the DOE occupational safety and health (OSH) program to meet the requirements of 29 CFR 1960, the Federal Worker 2000 Presidential Initiative and DOE O 440.1A.</p> <p>b. As the Agency Environmental Executive, the EH AS is responsible for coordinating environmental programs relating to procurement and acquisition, waste prevention and recycling, and annual reporting on the Department's progress in implementing Executive Order (E.O.) 13101.</p>	<p><u>EH-5</u></p> <p>a. Coordinate safety and health policies for DOE.</p> <p>b. Assign an office director the authority to coordinate with the Office of Management, Budget, and Evaluation (ME) to administer the DOE OSH program to meet the provisions of 29 CFR 1960.6, the Federal Worker 2000 Presidential Initiative, DOE O 440.1A, and HQ O 442.1, <i>Headquarters Occupational Safety and Health Program</i>.</p> <p>c. Ensure there is sufficient budget and staffing to implement the OSH program.</p> <p>d. Define priorities for responding to DOE factors that cause occupational accidents, injuries, illnesses.</p> <p>e. Maintain directives for the following OSH areas:</p> <ul style="list-style-type: none"> • Worker protection • Construction safety • Electrical Safety • Fire Protection • Explosives Safety • Chemical Safety • Biohazards • Hoisting and Rigging • Exposure Assessment • Firearms Safety • Pressure Safety • Motor Vehicle Safety • Suspect and Counterfeit Items <p><u>EH-4</u></p> <p>Develop and coordinate the DOE program to meet the</p>	<p>DOE M 411.1-1B</p> <p>29 Code of Federal Regulations (CFR) 1960.6,</p> <p>Federal Worker 2000 Presidential Initiative, July 2, 1999,</p> <p>DOE Order(O) 440.1A</p> <p>HQ O 442.1</p> <p>E.O. 13101</p> <p>E.O. 12196</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
		requirements of E.O. 13101.	
9.1.1 DOE Strategic Plans, Including Mission Statements Provide input to and implement the provisions of the Secretary's Strategic Plan, including the Department's mission statement.	a. Represent EH in the development of the Secretary's strategic plan and DOE's mission statement. b. Implement the plan within EH.		DOE M 411.1-1B DOE P 450.4
9.1.2 Secretarial Office Strategic Plans, Including Mission Statements a. Prepare Secretarial Office strategic plans and mission statements and submit them to the Deputy Secretary for approval. b. Implement DOE and Secretarial Office strategic plans and mission statements.	a. Prepare EH strategic plans and mission statements, and submit them to the Deputy Secretary for approval. b. Implement DOE and EH strategic plans and mission statements	<u>EH-7</u> Coordinate and prepare EH Strategic Plan. <u>All EH DAS</u> a. Provide input to the EH AS for the DOE Strategic Plan b. Prepare office strategic plans and mission statements for EH-1 approval; c. Implement DOE and EH strategic plans.	DOE M 411.1-1B Government Performance and Results Act of 1993
9.1.4.1 Budget for Program a. Prepare the proposed budget for the program office and coordinate with the Headquarters Chief Financial Officer. b. Review all operating contracts to ensure ES&H is adequately addressed.	a. Develop, coordinate, defend and manage the EH budget consistent with the Department's strategic Plan, Secretarial decisions, and budget instruction, and the requirements in DOE O 130.1. b. Assign the responsibility for reviewing operation contracts and requests for proposals to ensure	<u>EH-7</u> a. Draft EH budget as requested by EH AS b. Coordinate with CR-1 on the EH budget as the EH principal point of contact for the budget formulation process. c. Provide additional data, when requested, to support budget requests. <u>EH-3</u> Review operating contracts and request for proposal to ensure: <ul style="list-style-type: none"> • ES&H is adequately addressed, • Any exemption requests made to ES&H 	DOE M 411.1-1B DOE O 130.1 DOE O 135.1 Office of Management and Budget (OMB) Circular A-11

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
	appropriate ES&H clauses are included.	<p>requirements are appropriate and reviewed in accordance with 48 CFR 970.52 04-2(c),</p> <ul style="list-style-type: none"> they contain clear and unambiguous lines of authority and responsibility for ES&H at all organizational levels. <p><u>All EH DAS</u> Provide data as needed to develop, support, and defend budget requests.</p>	
<p>9.1.6 Technical Qualification and Competency Each DOE element is responsible for ensuring that its employees are qualified to perform their assigned functions.</p>	<p><u>From DOE M 411.1-1B and DOE O 414.1A, Chg 1:</u> Ensure EH employees are qualified to perform their assigned functions.</p> <p><u>From DOE O 360.1B:</u> a. Approve training policies and procedures for EH. b. Prioritize critical training needs for EH. c. Waive training completion and continued service obligations to Federal employees in EH prior to separation from DOE, as appropriate. d. Approve acceptance of training-related awards, honorariums, and/or other contributions towards cost of training from IRS</p>	<p><u>EH-2</u> Serve as the EH representative on the Federal Technical Capability Panel (FTCP). (see also 9.1.6.1)</p> <p><u>All EH DAS</u> a. Ensure employees (including managers & supervisors) are qualified to perform their assigned functions and meet mandatory training requirements. b. Provide comments & recommendations to EH AS regarding training policies and procedures for EH, as requested. c. Ensure adequate funding is available for critical training needs. d. Recommend to EH AS if DOE should waive training completion and continued service obligations to Federal government for any employee. e. Recommend to the EH AS if DOE or employee should accept any training-related awards, honorariums, and/or other contributions towards cost of training to EH AS.</p>	<p>DOE M 411.1-1B</p> <p>DOE O 360.1B</p> <p>DOE M 360.1-1B</p> <p>DOE O 414.1A, Chg 1</p> <p>DOE M 426.1-1</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
	<p>recognized 501(c)(3) organizations for EH staff and management, with advice from the Office of General Counsel, as required.</p>		
<p>9.1.6.1 Technical Qualification and Competency at Defense Nuclear Facilities SO Responsibilities:</p> <p>a. Provide adequate resources and support for the Federal Technical Capability Program (FTCP).</p> <p>b. Implement FTCP for program.</p> <p>c. Ensure personnel are qualified to perform their safety management functions and these qualifications are reflected in position descriptions and performance criteria.</p>	<p><u>From DOE M 411.1-1B</u></p> <p>a. Provide adequate resources and support for FTCP.</p> <p>b. Implement FTCP for EH.</p> <p>c. Ensure EH personnel are qualified to perform their safety management functions and these qualifications are reflected in position descriptions and performance criteria.</p> <p><u>From DOE M 426.1-1:</u></p> <p>In accordance with the requirements of DOE M 426.1-1:</p> <p>a. Designate a senior manager to serve as the EH representative on the Federal Technical Capability Panel.</p> <p>b. Conduct an annual workforce analysis for</p>	<p><u>EH-7</u></p> <p>Implement the DOE Technical Qualification Program.</p>	<p>DOE M 411.1-1B</p> <p>DOE M 426.1-1</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
	<p>defense nuclear facilities.</p> <p>c. Ensure individuals filling Senior Technical Safety Manager (STSM) positions meet the technical competency criteria.</p> <p>d. Establish a process to recruit, screen, and hire, competent technical personnel to fill STSM positions</p> <p>e. Develop technical competencies for each of the STSM positions in EH.</p> <p>f. Ensure resources to support the Technical Leadership Development Program (TLDP) in EH and assign an EH TLDP coordinator.</p> <p>g. Implement formal training and qualification programs.</p> <p>h. Designate the positions and/or individuals in EH required to participate in the Technical Qualification Program (TQP) and the Technical Qualification Standards that apply to them.</p>		

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
<p>9.1.6.2 Contractor Training Programs</p> <p>a. Develop and recommend the promulgation and maintenance of training requirements, standards, and guidance materials, and conduct workshops as necessary, for implementing the requirements of DOE O 5480.20A.</p> <p>b. Monitor reports (safety analysis reports, appraisal and inspections reports, training plans, etc.) relative to nuclear facility personnel qualification activities to assess implementation of DOE O 5480.20A and identify needed improvements.</p> <p>c. Develop and recommend the promulgation of Department-wide training requirements for general employee/worker safety training which are consistent with the requirements promulgated by the Occupational Safety and Health Administration, the Nuclear Regulatory Commission, and the Environmental Protection Agency (EPA).</p> <p>d. Ensure EH personnel responsible for training are proficient in personnel training processes and requirements and that they have diverse expertise so that important areas related to nuclear, radiological, environmental, and occupational safety are covered.</p> <p>e. Ensure that EH feedback and improvement work products are accessible and facilitate their use in the development of training content. Support DOE-wide cooperative and collaborative efforts for efficient development of accurate and effective training.</p>	<p>Assign specific tasks to DASs to meet requirements of DOE O 5480.20A, Chg 1 in FRAM 9.1.6.2 for EH.</p>	<p><u>EH-3</u> Ensure that lessons learned and operating experience, and EH feedback and improvement work products are accessible so they can be incorporated into training.</p> <p><u>EH-4</u> Develop and maintain DOE directive to address training requirements for environmental protection consistent with EPA training requirements.</p> <p><u>EH-5</u> a. Develop and maintain directives for contractor training for nuclear activities (5480.20A, Chg 1). b. Develop and maintain DOE directives to address training requirements for OSH and nuclear safety. c. Develop and maintain DOE guidance to address radiological training requirements in 10 CFR Part 835.</p>	<p>DOE M 411.1-1B</p> <p>DOE O 5480.20A, Chg 1</p> <p>DOE O 414.1A, Chg 1</p> <p>10 CFR Part 835</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
<p>9.2.2.1 Policies, Orders, Notices, Manuals, Guides, and Page Changes <u>When not OPI.</u> a. Review and comment on proposed directives. Ensure proposed Policies, Orders, Notices, Manuals, Guides, and page changes are consistent with all applicable ES&H requirements. b. Interact with other Federal agencies to ensure that directives are consistent with Federal ES&H policy.</p> <p><u>When OPI.</u> a. Prepare draft directives (i.e., Policies, Orders, Notices, Manuals, Guides, and page changes); coordinate them with other offices (see DOE M 251.1-1A); and submit draft Orders and Manuals that have the potential to affect field elements and more than one PSO to the Field Management Council (FMC) for review. b. Revise directives as necessary and provide technical interpretation of directive requirements. c. Submit final draft Policies, Orders, Notices, Manuals, Guides, and page changes to MA-4 for issuance unless they affect field elements and are presented to the FMC. d. Designate a Directive Development Manager to coordinate review of directive (see DOE M 251.1-1A). e. Identify the program offices that have the</p>	<p><u>When not OPI</u> Provide ES&H comments on directives and page changes.</p> <p><u>When OPI (see Table 3 for directives for which EH is the OPI)</u> a. Develop and coordinate directives in accordance with the process defined in DOE M 251.1-1A and the responsibilities defined in FRAM 9.2.2.1, including the Field Management Council (FMC) when the directive impacts multiple program offices and the field. b. Provide technical interpretations to directives for which EH is the OPI. c. Approve, deny, or comment on requests for exemption to directives in accordance with the provisions in the directive or, if the directive does not provide specific provisions for exemptions, in accordance with the</p>	<p>All EH DAS <u>When not OPI</u> Review and comment on directives and page changes as appropriate.</p> <p><u>When OPI (see Table 3 for a list of directives for which EH is the OPI and the EH office assigned responsibility for the directive)</u> a. Prepare draft directives; coordinate them with other offices; and submit draft Orders and Manuals that have the potential to affect field elements and more than one PSO to the FMC for review (DAS or higher required to submit to FMC). b. Revise directives as necessary and provide technical interpretation of directive requirements. c. Submit final draft Policies, Orders, Notices, Manuals, Guides, and page changes to MA-4 for issuance unless they affect field elements and are presented to the FMC. d. Designate a Directive Development Manager to coordinate review of directive (see Table 3 for assigned EH Office). e. Identify the program offices that have the potential to be affected and coordinate with PSOs for those program offices for review and comment; coordinate with program counsel in the Office of General Counsel for review and comment. f. Provide staff to participate on focus groups or technical development teams. g. Approve draft directives and their accompanying justification documents when submitting directives to the FMC for review (must be at DAS level or higher).</p>	<p>DOE M 411.1-1B</p> <p>DOE M 251.1-1A</p> <p>DOE O 251.1A</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
<p>potential to be affected and coordinate with PSOs for those program offices for review and comment; coordinate with program counsel in the Office of General Counsel for review and comment.</p> <p>f. Provide staff to participate on focus groups or technical development teams.</p> <p>g. For ES&H requirements for non-NNSA facilities, review and approve, or deny with reason, applications for exemptions from DOE directives (see DOE M 251.1-1A).</p> <p>h. For ES&H requirements for NNSA facilities, review and recommend to NNSA that it approve, or deny with reason, applications for exemptions from DOE directives (see DOE M 251.1-1A).</p>	<p>exemption provisions in DOE M 251.1-1A.</p>	<p>b. Provide comments or recommendations to exemptions in accordance with the directive or DOE M 251.1-1A.</p> <p><u>EH-3</u> Ensure that lessons learned and operating experience, and EH feedback and improvement work products are accessible so they can be incorporated into revisions of DOE directives.</p>	
<p>9.2.2.2 Technical Standards for Use within DOE</p> <p>a. Manage the DOE Technical Standards Program.</p> <p>b. Appoint the DOE Standards Executive to represent DOE's interests on consensus standards-setting organizations and the Interagency Committee on Standards Policy.</p> <p>c. Perform DOE reporting requirements under Office of Management and Budget (OMB) Circular A-119.</p> <p>d. When not OPI, review and comment on proposed DOE Technical Standards and recommend technical and cost-saving improvements, where appropriate.</p> <p>e. Provide staff to participate on focus groups</p>	<p>a. Assign responsibility for the DOE Technical Standards Program.</p> <p>b. Appoint the DOE Standards Executive.</p> <p>c. Submit to the Secretary the annual report to meet OMB Circular A-119.</p>	<p><u>EH-2</u> Assign the EH Technical Standards Coordinator responsible for coordinating EH review and comment on Technical Standards from other DOE Offices.</p> <p><u>EH-3</u> Ensure that lessons learned and operating experience, and EH feedback and improvement work products are accessible so that they can be considered when revising DOE Technical Standards.</p> <p><u>EH-5</u> a. Assign role of DOE Standards Executive. b. Assign DOE Technical Standards Director to manage the DOE Technical Standards Program. d. Prepare annual report for Secretary to meet OMB-</p>	<p>DOE M 411.1-1B</p> <p>DOE O 252.1</p> <p>DOE P 251.1</p> <p>DOE M 251.1-1A</p> <p>P.L. 104-113</p> <p>OMB A-119</p> <p>Implementation Plan for Defense Nuclear Facilities Safety Board (DNFSB)</p>

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<p>or technical development teams to ensure a quality product is developed. f. Ensure proposed DOE Technical Standards are consistent with ES&H requirements.</p> <p><i>When OPI</i> Identify established consensus standards for use by DOE or document the need for a DOE Technical Standard, prepare draft DOE Technical Standards that are consistent with P.L. 104-113, coordinate them in accordance with directions from the DOE Technical Standards Program, ensure the consistency of proposed standards with existing adopted standards, and approve final DOE Technical Standards and send them to the DOE Technical Standards Manager for issuance.</p>		<p>119. e. Ensure proposed DOE Technical Standards are consistent with ES&H requirements.</p> <p><u>All EH DAS</u> <i>When OPI</i> Develop and maintain technical standards in accordance with DOE O 252.1 and DOE G 252.1-1.</p> <p><i>When not OPI</i> a. Review and comment on proposed DOE Technical Standards of interest. b. Provide staff to participate on focus groups or technical development teams for DOE Technical Standards under development.</p>	<p>Recommendation 91-1</p> <p>DOE O 252.1</p> <p>DOE M 252.1-1</p>
<p>9.2.2.3 Rules a. Prepare draft ES&H rules and associated guidance documents in accordance with the provisions of the Administrative Procedure Act and other generally applicable procedural requirements and policies and coordinate them with affected DOE organizations. b. Submit final draft rules to the General Counsel for coordination with the Secretary of Energy, the OMB, and the Federal Register. c. Consult with procurement, review and assist in drafting proposed contract related clauses and guidance, and work with the appropriate Headquarters procurement offices to bring the proposals to an implementation stage through</p>	<p>a. Direct the preparation of ES&H rules. b. Submit draft Federal Register Notices on ES&H rules to GC.</p>	<p><u>All EH DAS</u> <i>When OPI (see Table 2 for a list of rules for which EH is the OPI and the assigned EH office)</i> a. Draft and coordinate review of rules with the Office of General Counsel (GC) and other affected DOE organizations. b. Submit draft rule notices (Notice of Intent, Request for Comments, Final Rule, etc) to GC-1 for coordination with the Secretary, OMB, and the Federal Register. c. Prepare responses to comments in accordance with the Administrative Procedures Act (APA). d. Revise rules when necessary. e. Develop interpretations of technical requirements. f. Maintain cognizance & interact with other Federal</p>	<p>DOE M 411.1-1B</p> <p>DOE P 410.1A</p> <p>APA</p> <p>Atomic Energy Act (AEA)</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
<p>rule-making or other action, as appropriate.</p> <p>d. Revise rules when necessary and interpret their technical requirements.</p> <p>e. Interact with other Federal agencies to ensure rules are consistent with Federal ES&H policies.</p>		<p>agencies to ensure EH rules are consistent with Federal ES&H policies.</p> <p>g. Establish and maintain files on rulemaking including all Federal Register Notices, correspondence, incoming comments (both paper and electronic), and resolutions of comments.</p> <p><i>When not OPI</i></p> <p>Review and comment on proposed rules of interest.</p>	
<p>9.2.2.5 Organization FRA Documents</p> <p>Prepare, approve, and implement FRA documents for each organization to delineate how the applicable responsibilities and authorities in this Manual are performed. Revise FRA documents within 90 days of the issuance of revision to this Manual and following organizational changes.</p>	<p>a. Prepare, approve, and implement the EH Manual of Functions, Responsibilities, and Authorities (the EH FRA) to delineate how the applicable EH responsibilities and authorities in the FRAM are performed.</p> <p>b. Maintain the EH FRA.</p>	<p><u>EH-5</u></p> <p>a. Coordinate development of EH FRA document.</p> <p>b. Update the EH FRA to reflect changes in the FRAM within 90 days after the change is made in the FRAM.</p> <p>c. Update the FRA following organizational changes or changes in EH responsibilities that affect the responsibilities and authorities listed in the FRA.</p> <p><u>All EH DAS</u></p> <p>Review proposed EH FRA and any updates to the EH FRA and provide comments to EH-53 to ensure the EH FRA captures EH responsibilities and authorities accurately and sufficiently.</p>	<p>DOE M 411.1-1B</p> <p>DOE P 411.1</p>
<p>9.2.2.7 Implementation of Environmental Management Systems</p> <p>Develop or revise existing DOE environmental directives, policies, and documents to incorporate the goals found in Part 2 of E.O. 13148.</p>	<p>Direct the development and maintenance of environmental directives, policies, and documents to meet the goals of E.O. 13148.</p>	<p><u>EH-4</u></p> <p>Develop, revise, and maintain existing DOE environmental directives, policies, and documents to incorporate the goals found in Part 2 of E.O. 13148</p>	<p>DOE M 411.1-1B</p> <p>E.O. 13148</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
9.3.1 Identify and Analyze Hazards a. When requested, review and comment on selected hazard identification and hazard analysis in safety documentation. b. As part of EH's nuclear safety policy function, review and concur (or comment, if an NNSA facility is involved) in the methodology used to prepare the DSA, including the criteria for classifying nuclear safety structures, systems, and components, for Hazard Category 1, 2, and 3 nuclear facilities, whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830. c. Whenever a new alternative is accepted, prepare the guidance for the use and application of the methodology, issue the guidance per prescribed processes, and incorporate it into DOE-wide guidance on approved methodologies.	a. When requested, assign the review and comment of the hazard identification and hazard analysis in safety documentation. b. Concur (or comment, if an NNSA facility is involved) on the use of alternate methodologies used to prepare documented safety analyses (DSAs). c. Issue guidance for the use and application of any approved alternate methodology.	<u>EH-2</u> When requested, review and provide comments on the hazard identification and hazard analysis in selected safety documentation. <u>EH-5</u> a. Review and provide recommendations on proposed alternate methodologies for DSAs for hazard category 1, 2, and 3 nuclear facilities, whenever the contractor does not use a safe harbor methodology from 10 CFR Part 830. b. Whenever a new alternative is accepted, prepare the guidance for the use and application of the methodology	DOE M 411.1-1B 10 CFR Part 830 DOE G 421.1-2 DOE O 151.1A DOE O 420.2A DOE 420.1A DOE STD 1027
9.3.2 Categorize Facility/Activity Based on the Hazards When requested, review and comment on selected facility and activity hazard categorization in safety documentation.		<u>EH 5</u> When requested, review and provide comments on the facility and activity hazard categorization in safety documentation.	DOE M 411.1-1B 10 CFR Part 830 DOE G 421.1-1 DOE STD 1027
9.4.1.1 ES&H Site-/Facility-specific Requirements (Hazard Category 1) As part of EH's nuclear safety policy function, review and comment on specific requirements		<u>EH-2&5</u> When requested, review and provide comments on specific requirements to be included in selected contracts, authorizations agreements, safety	DOE M 411.1-1B

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
to be included in contracts, authorization agreements, safety documentation, and authorization bases, when requested.		documentation, and authorization bases.	
9.4.1.2 ES&H Site-/Facility-specific Requirements (Hazard Category 2 and Below) When requested, review and comment on selected authorization basis and safety basis documentation and management systems used to develop and maintain these bases.		<u>EH-2</u> When requested, review and comment on selected: <ul style="list-style-type: none"> • authorization basis, • safety basis, and • management systems used to develop and maintain these bases. 	DOE M 411.1-1B 10 CFR Part 830, Subpart B
9.4.1.3 Exemptions from DOE Directive Requirements (Other Than Rules) See DOE 251.1A, <i>Directives System</i> , and DOE M 252.1-1A, <i>Directives System Manual</i> .	When the OPI, assign to relevant DAS.	<u>All EH DAS</u> As assigned, review and recommend approval or denial of exemption requests in accordance with the provisions for exemptions in the directive, or if there are no provisions in the directive, in accordance with the provisions for exemptions in DOE M 251.1A.	DOE M 411.1-1B DOE M 251.1-1A
9.4.1.4 Exemptions from Requirements in 10 CFR Parts 830 and 835 Exemptions from the requirements of 10 CFR Parts 830 and 835 are specifically authorized in 10 CFR Part 820, Subpart E. Individuals requesting and processing exemption to these regulations should refer to the criteria and authorities in that regulation. In addition, DOE -STD-1083-95, <i>Requesting and Granting Exemption to Nuclear Safety Rules</i> , provides guidance on requesting, reviewing, and granting exemptions to DOE nuclear safety rules.	a. Approve or deny requests for exemptions to 10 CFR 835 for non-NNSA programs. b. Upon request, provide comments to the PSO for exemptions to 10 CFR Part 835 for NNSA programs and to 10 CFR Part 830 for all nuclear facilities (including activities & operations).	<u>EH-5</u> Review requests for exemptions to 10 CFR 830 and 10 CFR 835 and recommend approval or denial, or provide comments as appropriate.	DOE M 411.1-1B 10 CFR Part 820, Subpart E

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
<p>a. Upon request, review and comment on 10 CFR Part 830 exemption submissions.</p> <p>b. Approve or deny requests for exemptions from non-NNSA programs from the requirements of 10 CFR 835 as authorized by the provisions of 10 CFR 820, Subpart E. This authority may not be delegated</p> <p>c. Review and recommend approval or denial of requests from NNSA programs from the requirements of 10 CFR 835 as authorized by the provisions of 10 CFR 820, Subpart E.</p> <p>d. Resolve any comments received on proposed exemptions to 10 CFR Part 835.</p>			
<p>9.4.1.6 Approval of Programs and Processes Required by Nuclear Safety Rules</p> <p>a. When requested, review and comment on selected Radiation Protection Programs (RPPs), Unreviewed Safety Question (USQ) procedures, and DSAs and preliminary DSAs.</p> <p>b. As part of EH's nuclear safety policy function, review and concur (or comment, if an National Nuclear Security Administration (NNSA) facility is involved) in:</p> <p>(i) the nuclear safety design criteria selected for preliminary documented safety analyses for Hazard Category 1, 2, and 3 nuclear facilities if they are not consistent with DOE O 420.1, <i>Facility Safety</i>, as required by 10 CFR Part 830.206(b)(1) and</p> <p>(ii) a methodology for safety analysis if it is not contained in Table 2 of Appendix A to Subpart B of 10 CFR 830 for the preparation</p>	<p>Provide adequate resources to ensure continuing operations of the DOELAP</p>	<p><u>EH-2</u></p> <p>When requested, provide comments on selected:</p> <p>a. USQ procedures,</p> <p>b. TSRs</p> <p>c. DSAs, and</p> <p>d. preliminary DSAs.</p> <p><u>EH-5</u></p> <p>a. Review RPPs and updates to RPPs and provide comments (per 10 CFR Part 835, RPPs are considered approved 180 days after submission to DOE unless DOE rejects it before that date).</p> <p>b. Review and concur (comment if NNSA facility) on alternative DSA methodologies if not consistent with approved methodologies in Table 2 of Appendix A to Subpart B of 10 CFR Part 830.</p> <p>c. Review and concur (comment if NNSA facility) on Preliminary DSAs if design criteria are not consistent with approved criteria in DOE O 420.1A.</p>	<p>DOE M 411.1-1B</p> <p>10 CFR Part 830</p> <p>10 CFR Part 835</p> <p>DOE G 421.1-2</p> <p>DOE G 423.1-1</p> <p>DOE G 424.1-1</p> <p>DOE O 420.1A</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
of a DSA . Whenever a new alternative is accepted, prepare the guidance for the use and application of the methodology, issue the guidance per prescribed processes, and incorporate it into DOE-wide guidance on approved DSA methodologies. c. Develop and implement the DOE Laboratory Accreditation Program (DOELAP) in coordination with PSO, contractors, and industry.		d. If alternate methodology is accepted, issue guidance on use of approved methodology. e. Develop and implement the DOE LAP, approve or deny applications for accreditation, requests for technical equivalency, and requests for exception.	
9.4.2 Identify Controls to Prevent and Mitigate Hazards When requested, selectively review and comment on the adequacy of controls used to prevent and mitigate hazards.		<u>EH-4</u> When requested, review and provide comments on the adequacy of controls to prevent and mitigate environmental hazards at DOE facilities and activities. <u>EH-2&5</u> When requested, selectively review and provide comments on the adequacy of controls to prevent and mitigate worker and safety hazards at DOE facilities and activities.	DOE M 411.1-1B 10 CFR Part 830 DOE G 423.1-1
9.4.3.1 Safety Basis and Authorization Basis Documentation for Hazard Category 1 Nuclear Facilities a. When requested, review and comment on selected authorization basis and safety basis documentation and on management systems to develop and maintain authorization bases. b. Maintain a public list on the Internet that provides the status of the safety basis and, to the extent practicable, provides information on		<u>EH-2& 5</u> Provide input as requested on selected authorization basis, safety basis, and management systems for hazard category 1 nuclear facilities. <u>EH-5</u> Maintain the Safety Basis Information System (SBIS) to meet the requirement for a list of hazard category 1 nuclear facilities, their safety basis status, and point-of-contact.	DOE M 411.1-1B 10 CFR Part 830 DOE O 420.2A

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
how to obtain a copy of the safety basis and related documents for a facility.			
9.4.3.2 Safety Basis and Authoriza tion Basis Documentation for Hazard Category 2 and below Nuclear Facilities and Accelerators a. When requested, review and comment on selected authorization basis and safety basis documentation and management systems. b. Maintain a public list on the Internet that provides the status of the safety basis for Hazard Category 2 and 3 nuclear facilities and, to the extent practicable, provides information on how to obtain a copy of the safety basis and related documents for a facility.		<u>EH-2& 5</u> For hazard category 2 & 3 nuclear facilities, provide input, as requested on selected: a. authorization bases, b. safety bases, c. safety documentation, or d. management systems. <u>EH-5</u> Maintain the Safety Basis Information System (SBIS) to meet the requirement for a list of hazard category 2, & 3 nuclear facilities, their safety basis status, and point-of-contact.	DOE M 411.1-1B 10 CFR Part 830
9.4.3.3 Authoriza tion Pro tocols When requested, review and comment on selected authorization agreements.		<u>EH-2</u> Review and provide comments on selected authorization agreements, when requested.	DOE M 411.1-1B
9.5 Perform Work a. Provide policy, guidance, and technical assistance to the PSO and field element organizations Federal Employee Occupational Safety and Health (FEOSH) programs, when requested. b. Collect information and provide annual reports to the Departments of Labor and Transportation.	As the Designated Headquarters Safety and Health Official (DASHO), designate a manager to implement the EH FEOSH Program and ensure the FEOSH requirements of 29 CFR 1960 are met for DOE including: <ul style="list-style-type: none"> accident investigations and annual reporting of 	<u>EH-5</u> a. Provide policy, guidance, and technical assistance to the PSOs and DOE field elements regarding FEOSH programs b. Consult and coordinate with other DOE elements in the development of their respective FEOSH programs. c. Provide comments on FEOSH programs, when requested. d. Support the EH AS as the Headquarters Safety and Health Manager. e. Assure the requirements of DOE HQ O 442.1, 29	DOE M 411.1-1B DOE O 440.1A DOE HQ O 442.1 29 CFR 1960 DOE O 225.1A

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	occupational accidents and illnesses.	CFR 1960, and DOE O 440.1A are met for DOE FEOSH programs. f. Maintain a management information system for recordkeeping, reporting, and statistical analysis to satisfy the requirements in 29 CFR 1960. <u>EH-2</u> Perform accident investigations in accordance with DOE O 225.1A.	
9.5.1 Confirm Readiness Recommend shut down of work to the PSO if a clear and present safety danger exists, and notify the Lead PSO (LPSO).	Recommend shutdown of work to the PSO if a clear and present safety danger exists, and notify the LPSO.	<u>EH-2</u> Recommend shutdown of work to the EH AS if a clear and present safety danger exists.	DOE M 411.1-1B DOE O 425.1B
9.5.1.1 Readiness Reviews Review and comment on selected readiness review plans of action, implementation plans, ORRs and readiness assessments (RAs), as requested.	<u>From DOE M 411.1A</u> Review and comment on readiness reviews. <u>From DOE O 425.1B:</u> a. Review and comment on the ORR final report recommendations regarding startup or restart to the DOE authorization authority. b. Review & comment on contractor & DOE plans of action & implementation plans for both readiness assessments and startup	<u>EH-2</u> a. Review and provide comments on the ORR final report recommendations regarding startup or restart. b. Maintain cognizance of ORR and readiness assessment (RA) activities in the field and headquarters. c. Conduct reviews of startup activities for significant startups and restarts and as requested by the appropriate line organization. d. Alert the EH AS to any dissenting opinion on the readiness of a facility to start up or restart, if a significant safety concern is not being properly corrected. e. Review and comment on the hazard classification in the Startup Notification Report (SNR).	DOE M 411.1-1B DOE O 425.1B

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
	operational readiness review (ORRs). c. Provide any dissenting opinion on the readiness of a facility to start up or restart to DOE line management or the Secretary if a significant safety concern is not being properly corrected.		
9.5.2 Perform Work Safely When requested, provide guidance and assist in the identification of DOE requirements.	<u>From DOE O 425.1B:</u> Concur in the final decision to start up or restart a nuclear facility, when requested by the Secretary.	<u>EH-2</u> a. Review and comment on final readiness reports prior to startup or restart of a nuclear facility. b. Provide any dissenting opinions on the final decision to startup or restart a nuclear facility, if a significant safety concern is not being addressed.	DOE M 411.1-1B DOE O 425.1B
9.5.3 Quality Assurance Ensure promulgation of quality assurance policy, evaluate the quality Assurance program (QAP), and coordinate quality assurance (QA) policy internal and external to DOE, including software quality assurance. Within EH, ensure development and implementation of the EH QAP, continuous improvement, integration into an ISM system, and provision of adequate resources to achieve quality.	a. Develop & maintain QA policy, requirements, guides, and standards for DOE work. b. Ensure promulgation of quality assurance policy c. Coordinate QA policy internal and external to DOE, including software QA. d. Develop and maintain the EH QAP.	<u>EH-5</u> a. Develop and maintain DOE QA directives (i.e., policy, requirements, guides, and standards) and regulation (i.e., 10 CFR Part 830, Subpart A). b. Assign a central point of contact for coordination within DOE to act as liaison with other agencies and groups in the development of QA policy, requirements, guidance, and standards and to respond to requests for advice and assistance to DOE elements concerning DOE QA directives and regulations. c. Ensure the EH QAP is - developed, maintained, and implemented; - continuously improved, - integrated into an ISM system, and - provided adequate resources to implement.	DOE M 411.1-1B DOE O 414.1A, Chg 1 10 CFR Part 830, Subpart A DOE G 414.1-1A DOE G 414.1-2

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
		<u>EH-2</u> Establish and lead actions to improve QA implementation and to coordinate crosscutting QA issues.	
9.6.1.1 Lessons-Learned Program a. Develop and implement the DOE corporate Lessons Learned and Operating Experience Program in coordination with PSO, FEM, contractors, and industry. b. Support the analysis and dissemination of lessons-learned and operating experience information across the DOE complex. c. Develop methodologies and other tools for lessons-learned reporting and analysis. Actively seek feedback for continuous improvement of lessons-learned identification, analysis, and dissemination and upgrade requirements and guidance.	Assign responsibility for the DOE corporate Lessons Learned and Operating Experience Program.	<u>EH-3</u> a. Implement the DOE Lessons Learned and Operating Experience Program in coordination with PSO, FEM, contractors, and industry. b. Support the analysis and dissemination of lessons learned and operating experience information across the DOE complex. c. Develop methodologies and other tools for lessons learned and operating experience reporting and analysis. d. Actively seek feedback for continuous improvement of lessons learned and operating experience identification, analysis, and dissemination and upgrade requirements and guidance.	DOE M 411.1-1B Implementation Plan in response to DNF SB 98-1 DOE O 225.1A DOE O 414.1A, Chg 1
9.6.1.2 Occurrence Reporting and Processing System (ORPS) a. Develop, maintain, and implement the ORPS. b. Prepare and disseminate information obtained from analysis of ORPS information. c. Actively seek feedback for continuous improvement of ORPS, and upgrade requirements as appropriate.	Approve and transmit annual reports.	<u>EH-3</u> a. Develop, maintain, and implement the ORPS. Prepare and disseminate information obtained from analysis of this information. b. Actively seek feedback for continuous improvement of ORPS and upgrade requirements as appropriate.	DOE M 411.1-1B DOE O 232.1A, DOE M 232.1-1A

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
9.6.1.3 ES&H Reporting Requirements (OSH, Environmental, Radiological) Develop, maintain and implement a system for ES&H reporting requirements.	a. Assure that DOE meets the occupational safety and health record-keeping and reporting requirements for DOE Federal employees. b. Prepare a quarterly summary of DOE and DOE contractor accident data in accordance with DOE M 231.1-1 and provide to DOE elements and DOE contractors. c. Prepare a quarterly DOE Summary Performance indicator report and submit it to the Secretary in accordance with DOE M 231.1-1.	<p><u>EH-3</u> Identify best practices and disseminate them through the EH website.</p> <p><u>EH-5</u> Develop, implement, and maintain a system for ES&H reporting.</p> <p><u>All EH DASs</u> Track reports through CAIRS, REMS, ORPS, etc and prepare information or guidance for ES&H areas within their area of competence.</p>	DOE M 411.1-1B DOE O 231.1, Chg 2 DOE P 450.1 DOE O 232.1A
9.6.1.6 Reporting to external agencies Reports to external agencies for which EH is responsible include: <ul style="list-style-type: none"> • Seismic reports under E.O. 12941; • Dam safety reports under P.L. 104-303, the Water Resources; Development Act of 1996; • Pollution prevention and abatement plans; • Annual Summary of Occupational Illnesses and Injuries; • Annual summary report to the Department of Labor covering self-evaluations conducted during the 		<p><u>EH-4</u> Prepare: - Pollution Prevention and Abatement Plans - Annual reports to the Administrator of the EPA. - Historical/cultural reporting</p> <p><u>EH-5</u> Prepare: - Annual Summary of Occupational Injuries and Illnesses - OMB Circular A-119 Report on Standards (see 9.2.2.2) - Seismic reports under E.O. 12941 - Interagency Nuclear Safety Review Panel reports of</p>	DOE M 411.1-1B OMB A-119 E.O. 13148 E.O. 12941 P.L. 104-303

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
<p>previous year on DOE's FEOSH program;</p> <ul style="list-style-type: none"> • Annual reports to EPA; • Historical/cultural reporting; and • Interagency Nuclear Safety Review Panel reports of nuclear space applications to the President's Science Advisor, as required by Presidential Directive PD/NSC/25. 		<p>nuclear space applications</p> <ul style="list-style-type: none"> - Annual summary report covering self-evaluations conducted during the previous year on DOE's FEOSH program <p><u>EH-2</u> Prepare dam safety reports under P.L. 104-303.</p>	
<p>9.6.2 Make Changes to Improve All DOE elements are accountable for becoming and remaining cognizant of all relevant sources of information bearing upon their activities.</p> <ul style="list-style-type: none"> a. Continuously improve the efficiency and quality of operation; develop, implement, and track corrective actions to profit from experience and the lessons learned. b. Develop and maintain a process to ensure corrective actions are planned and pursued to completion and adequately correct the root causes of the conditions that prompted them. c. Develop and maintain a process to ensure information from various feedback sources are evaluated in an integrated manner and corrective actions are prioritized based upon importance. 	<ul style="list-style-type: none"> a. Continuously improve the efficiency and quality of operation b. Develop, implement, and track corrective actions to profit from experience and the lessons learned. c. Develop and maintain a process to ensure corrective actions are planned and pursued to completion and adequately correct the root causes of the conditions that prompted them. d. Develop and maintain a process to ensure information from various feedback sources are evaluated in an integrated manner and corrective actions are prioritized 	<p><u>All DAS</u></p> <ul style="list-style-type: none"> a. Continuously improve the efficiency and quality of operation b. Develop, implement, and track corrective actions to profit from experience and the lessons learned. <p><u>EH-3</u> Develop and maintain a process for feedback and improvement. Develop and maintain a process to allow information from various feedback sources to be evaluated in an integrated manner.</p> <p><u>EH-4</u> Provide an independent overview of DOE and radioactive waste management and decommissioning programs and advise the Secretary (through the EH AS) of the status of Departmental compliance with radioactive waste management requirements.</p>	<p>DOE M 411.1-1B</p> <p>10 CFR Part 830, Subpart B</p> <p>DOE O 414.1A, Chg 1</p> <p>DOE M 435.1-1</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
	based up on importance.		
9.6.2.1 Corrective Actions a. Review and comment on approved CAPs for Type A accident investigation Judgments of Need and monitor implementation of the CAPs. b. Monitor overall direction and implementation of the CAMP. EH reports CAMP status to the Deputy Secretary, Under Secretaries, and CSOs. c. Enter all findings and Judgments of Need into the Corrective Action Tracking System (CATS) and maintain the CATS database. d. Sponsor and co-chair the Corrective Action Management (CAM) Team. e. Report the status of the CAMP to the Deputy Secretary and senior DOE Headquarters and field managers.		<u>EH-2</u> a. Maintain direction and daily monitorship of the Corrective Action Management Program (CAMP) in coordination with CSOs and FEMs b. Maintain timeliness and quality control of the DOE Corrective Action Tracking System (CATS) used to track and report the status of the CAMP. c. Maintain continuous coordination with CAM Team members on specific organizational and DOE-wide CAMP activities and issues. d. Continuously update CSOs and FEMs on the status of CAMP implementation and formally report program status to the Deputy Secretary and senior DOE managers on a quarterly basis.	DOE M 411.1-1B DOE O 225.1A
9.3.3.2 Independent Oversight <i>When the policy organization</i> a. Coordinate resolution of applicable policy findings identified in OA appraisal reports with cognizant secretarial officers and heads of field elements. b. Review draft appraisal reports to ensure factual accuracy regarding policies. c. Develop, implement, and track to completion corrective actions, in coordination with the responsible CSO and within the		<u>All EH DAS When the OPI for the Policy</u> a. Coordinate resolution of applicable policy findings identified in OA appraisal reports with cognizant secretarial officers and heads of field elements. b. Review draft appraisal reports to ensure factual accuracy regarding policies. c. Develop, implement, and track to completion corrective actions, in coordination with the responsible CSO and within the prescribed time frames for findings related to policy deficiencies. d. Provide official DOE interpretation of	

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
<p>prescribed time frams for findings related to policy deficiencies.</p> <p>d. Provide official DOE interpretation of requirements contained within DOE Orders, Notices and Manuals under cognizance.</p>		<p>requirements contained within DOE Orders, Notices and Manuals under cognizance.</p>	
<p>9.6.3.3 Price-Anderson Act Enforcement</p> <p>a. Investigate noncompliances with nuclear safety rules.</p> <p>b. Assess the level of violations of noncompliances.</p> <p>c. Establish, maintain, and implement a noncompliance tracking system for self reporting by contractors.</p> <p>d. For non-NNSA programs, issue notices of violation and issue civil penalties, where appropriate. For NNSA programs, recommend to the NNSA that it issue notices of violation and issue civil penalties, where appropriate.</p> <p>e. Refer violations to the Justice department for criminal prosecution, where appropriate.</p> <p>f. Recommend issuance of compliance orders by the Secretary in accordance with the provisions of 10 CFR Part 820, if appropriate.</p> <p>g. Issue enforcement letters to conclude an investigation in which no further action is warranted pending corrective action.</p> <p>h. Negotiate and issue consent orders, as appropriate.</p>	<p>Assign responsibility for Price-Anderson Act Enforcement.</p>	<p><u>EH-10.</u></p> <p>a. Investigate noncompliances with nuclear safety rules.</p> <p>b. Assess the level of violation of noncompliances.</p> <p>c. Establish, maintain, and implement a noncompliance tracking system for self-reporting by contractors.</p> <p>d. For non-NNSA programs, issue notices of violation and issue civil penalties, where appropriate. For NNSA programs, recommend to NNSA that it issue notices of violation and civil penalties, where appropriate.</p> <p>e. Refer violations to the Justice Department for criminal review, where appropriate.</p> <p>f. Recommend issuance of compliance orders by the Secretary in accordance with the provisions of 10 CFR Part 820, where appropriate.</p> <p>g. Issue enforcement letters to conclude an investigation in which no further action is warranted pending corrective action.</p> <p>h. Negotiate and issue consent orders as appropriate.</p>	<p>DOE M 411.1-1B</p> <p>AEA Section 234a</p> <p>10 CFR Part 820</p>

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<p>9.6.3.3 Interface with DNFSB Provide full cooperation with the DNFSB, including ready access to Departmental defense facilities, personnel, and information; provide responses to DNFSB recommendations and requests as described in DOE M 140.1-1B, <i>Interface with the Defense Nuclear Facilities Safety Board</i>.</p>	<p><u>From DOE M 140.1-1B:</u> a. Consistent with guidance from the Deputy Secretary, implement the Department's policy with respect to the Board. b. When designated the cognizant Secretarial Officer responsible for responding to a Board recommendation, correspondence, or other Board issue, designate and empower a Responsible Manager to manage the associated planning, response, and implementation activities, consistent with guidance provided in DOE M 140.1-1B. c. Support other Secretarial Officers designated as cognizant for responding to and implementing Board recommendations. d. Designate and empower a single point of contact within EH to represent EH and work with the Departmental</p>	<p><u>DAS designated as a Responsible Manager by EH AS:</u> a. For each Board recommendation or letter requesting action and for each Departmental commitment to the Board, manage the response, planning, implementation, tracking, and closure of the recommendation, action request, and/or associated commitments. b. Provide status updates to the Safety Issues Management System (SIMS). c. Prepare, coordinate, and transmit a closure package to the Board upon commitment completion. d. Delegate day-to-day activities to a working level manager or technical lead, if desired. e. Keep the cognizant Secretarial Officer informed of any issues that need senior management attention. f. For cross-cutting issues, coordinate with the appropriate Headquarters and field managers in the other organization to implement the safety issue resolutions, consistent with the boundaries and authorities established by the controlling plan, commitment documents, or organizational memorandums of agreement.</p>	<p>DOE M 411.1-1B DOE M 140.1-1B</p>

FRAM ENTRY	EH AS RESPONSIBILITY	DAS ASSIGNMENTS	AUTHORITY
	Representative and his/her staff in Board-related matters		

Table 2 - Rules for which EH is the OPI

RULE	ASSIGNED OFFICE
10 CFR Part 820, <i>Procedural Rules for DOE Nuclear Activities</i>	EH-10
10 CFR Part 830, <i>Nuclear Safety Management</i>	EH-53
10 CFR Part 834, <i>Radiation Protection of the Public and the Environment</i> (proposed)	EH-412
10 CFR Part 835, <i>Occupational Radiation Protection</i>	EH-52
10 CFR Part 850, <i>Chronic Beryllium Disease Prevention Program</i>	EH-52
10 CFR Part 852, <i>Guidelines for Physician Panel Determinations on Worker Requests for Assistance in Filing for State Workers' Compensation Benefits</i>	EH-8
10 CFR Part 102.2, <i>Compliance with Floodplain/Wetlands Environmental Review Requirements</i>	EH-42

Table 3 - Directives for Which EH is the OPI

DIRECTIVE	TITLE	ASSIGNED OFFICE
<i>Policies</i>		
DOE P 141.1	DEPARTMENT OF ENERGY MANAGEMENT OF CULTURAL RESOURCES	EH-41
DOE P 411.1	SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES POLICY	EH-53
DOE P 441.1	DOE RADIOLOGICAL HEALTH AND SAFETY POLICY	EH-52
DOE P 450.1	ENVIRONMENT, SAFETY AND HEALTH POLICY FOR THE DEPARTMENT OF ENERGY COMPLEX	EH-41
DOE P 450.3	AUTHORIZING USE OF THE NECESSARY AND SUFFICIENT PROCESS FOR STANDARDS-BASED ENVIRONMENT, SAFETY AND HEALTH MANAGEMENT	EH-53
DOE P 450.4	SAFETY MANAGEMENT SYSTEM POLICY	EH-53
DOE P 450.6	ENVIRONMENT, SAFETY AND HEALTH	EH-53
<i>Orders</i>		
DOE O 210.1, Chg 2	PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS INFORMATION	EH-3
DOE O 225.1A	ACCIDENT INVESTIGATIONS	EH-21
DOE O 231.1, Chg 2	ENVIRONMENT, SAFETY, AND HEALTH REPORTING	EH-51
DOE O 232.1A	OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION	EH-3
DOE O 252.1	TECHNICAL STANDARDS PROGRAM	EH-53

DIRECTIVE	TITLE	ASSIGNED OFFICE
DOE O 414.1A, Chg 1	QUALITY ASSURANCE	EH-53
DOE O 420.1A	FACILITY SAFETY	EH-53
DOE O 425.1B	STARTUP AND RESTART OF NUCLEAR FACILITIES	EH-53
DOE O 433.1	MAINTENANCE MANAGEMENT PROGRAM FOR DOE NUCLEAR FACILITIES	EH-53
DOE O 440.1A	WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES	EH-52
DOE O 451.1B, Chg 1	NATIONAL ENVIRONMENTAL POLICY ACT COMPLIANCE PROGRAM	EH-42
DOE O 5400.1, Chg 1	GENERAL ENVIRONMENTAL PROTECTION PROGRAM	EH-41
DOE O 5480.4, Chg 4	ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION STANDARDS	EH-52
DOE O 5400.5, Chg 2	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT	EH-41
DOE O 5480.19, Chg 2	CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES	EH-53
DOE O 5480.20A, Chg 1	PERSONNEL SELECTION, QUALIFICATION, AND TRAINING REQUIREMENTS FOR DOE NUCLEAR FACILITIES	EH-53
DOE O 5480.30, Chg 1	NUCLEAR REACTOR SAFETY DESIGN CRITERIA	EH-53
<i>Manuals</i>		
DOE M 231.1-1, Chg 1	ENVIRONMENT, SAFETY, AND HEALTH REPORTING MANUAL	EH-51
DOE M 232.1-1A	OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION	EH-3

DIRECTIVE	TITLE	ASSIGNED OFFICE
DOE M 411.1-1B	SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES AND AUTHORITIES MANUAL	EH-53
DOE M 440.1-1	DOE EXPLOSIVES SAFETY MANUAL	EH-53
DOE M 450.3-1	THE DEPARTMENT OF ENERGY CLOSURE PROCESS FOR NECESSARY AND SUFFICIENT SETS OF STANDARDS	EH-53
<i>Notices</i>		
DOE N 231.1	ENVIRONMENT, SAFETY, AND HEALTH REPORTING NOTICE	EH-51
DOE N 350.6	ACCEPTANCE OF VALID WORKERS' COMPENSATION CLAIMS	EH-10
DOE N 450.4	ASSIGNMENT OF RESPONSIBILITIES FOR EXECUTIVE ORDER 13148, GREENING THE GOVERNMENT THROUGH LEADERSHIP IN ENVIRONMENTAL MANAGEMENT	EH-41
DOE N 450.7	THE SAFE HANDLING, TRANSFER, AND RECEIPT BIOLOGICAL ETIOLOGIC AGENTS AT DEPARTMENT OF ENERGY FACILITIES	EH-52
DOE N 450.8	EXTENSION OF DOE N 450.7, THE SAFE HANDLING, TRANSFER, AND RECEIPT OF BIOLOGICAL ETIOLOGIC AGENTS AT DEPARTMENT OF ENERGY FACILITIES	EH-52
DOE N 450.9	EXTENSION OF DOE N 450.4	EH-41
<i>Guides</i>		
DOE G 225.1A-1	IMPLEMENTATION GUIDE FOR USE WITH DOE O 225.1A, ACCIDENT INVESTIGATIONS	EH-21

DIRECTIVE	TITLE	ASSIGNED OFFICE
DOE G 252.1-1	TECHNICAL STANDARDS PROGRAM GUIDE	EH-53
DOE G 414.1-1A	MANAGEMENT ASSESSMENT AND INDEPENDENT ASSESSMENT GUIDE FOR USE WITH 10 CFR PART 830 SUBPART A, AND DOE O 414.1A, QUALITY ASSURANCE; DOE P 450.4 SAFETY MANAGEMENT SYSTEM POLICY; AND DOE P 450.5 LINE ES&H OVERSIGHT POLICY	EH-53
DOE G 414.1-2	QUALITY ASSURANCE MANAGEMENT SYSTEM FOR USE WITH 10 CFR 830.120 AND DOE O 414.1	EH-53
DOE G 420.1-1	NONREACTOR NUCLEAR SAFETY DESIGN CRITERIA AND EXPLOSIVES SAFETY CRITERIA GUIDE FOR USE WITH DOE O 420.1, FACILITY SAFETY	EH-53
DOE G 420.1-2	GUIDE FOR THE MITIGATION OF NATURAL PHENOMENA HAZARDS FOR NUCLEAR FACILITIES AND NONNUCLEAR FACILITIES	EH-53
DOE G 421.1-1	DOE GOOD PRACTICES GUIDE CRITICALITY SAFETY GOOD PRACTICES PROGRAM GUIDE FOR DOE NONREACTOR NUCLEAR FACILITIES	EH-53
DOE G 421.1-2	IMPLEMENTATION GUIDE FOR USE IN DEVELOPING DOCUMENTED SAFETY ANALYSES TO MEET SUBPART B OF 10 CFR 830	EH-53
DOE G 423.1-1	IMPLEMENTATION GUIDE FOR USE IN DEVELOPING TECHNICAL SAFETY REQUIREMENTS	EH-53
DOE G 424.1-1	IMPLEMENTATION GUIDE FOR USE IN ADDRESSING UNREVIEWED SAFETY QUESTION REQUIREMENTS	EH-53
DOE G 433.1-1	NUCLEAR FACILITY MAINTENANCE MANAGEMENT PROGRAM GUIDE FOR USE WITH DOE O 433.1	EH-53

DIRECTIVE	TITLE	ASSIGNED OFFICE
DOE G 440.1-1	WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES GUIDE FOR USE WITH DOE O 440.1	EH-52
DOE G 440.1-2	CONSTRUCTION SAFETY MANAGEMENT	EH-53
DOE G 440.1-3	OCCUPATIONAL EXPOSURE ASSESSMENT	EH-52
DOE G 440.1-4	CONTRACTOR OCCUPATIONAL MEDICAL PROGRAM GUIDE FOR USE WITH DOE O 440.1	EH-6
DOE G 440.1-5	IMPLEMENTATION GUIDE FOR FIRE SAFETY PROGRAM	EH-24
DOE G 440.1-6	IMPLEMENTATION GUIDE FOR USE WITH SUSPECT/COUNTERFEIT ITEMS REQUIREMENTS OF DOE O 440.1, WORKER PROTECTION MANAGEMENT; 10 CFR 830.120; AND DOE 5700.6C, QUALITY ASSURANCE	EH-53
DOE G 440.1-7A	IMPLEMENTATION GUIDE FOR USE WITH 10 CFR PART 850, CHRONIC BERYLLIUM DISEASE PREVENTION PROGRAM	EH-52
DOE G 441.1-1	MANAGEMENT AND ADMINISTRATION OF RADIATION PROTECTION PROGRAMS GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-2	OCCUPATIONAL ALARA PROGRAM GUIDE RADIATION PROTECTION PROGRAMS GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-3	INTERNAL DOSIMETRY PROGRAM GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-4	EXTERNAL DOSIMETRY PROGRAM GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52

DIRECTIVE	TITLE	ASSIGNED OFFICE
DOE G 441.1-5	RADIATION-GENERATING DEVICES GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-6	EVALUATION AND CONTROL OF RADIATION DOSE TO THE EMBRYO/FETUS GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-7	PORTABLE MONITORING INSTRUMENT CALIBRATION GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-8	AIR MONITORING GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-9	RADIOACTIVE CONTAMINATION CONTROL GUIDE FOR USE WITH TITLE 10 CFR, PART 835, GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-10	POSTING AND LABELING FOR RADIOLOGICAL CONTROL GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-11	OCCUPATIONAL RADIATION PROTECTION RECORD-KEEPING AND REPORTING GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-12	OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 441.1-13	SEALED RADIOACTIVE SOURCE ACCOUNTABILITY AND CONTROL GUIDE FOR USE WITH TITLE 10 CFR, PART 835, OCCUPATIONAL RADIATION PROTECTION	EH-52
DOE G 450.3-1	DOCUMENTATION FOR WORK SMART STANDARDS APPLICATIONS; CHARACTERISTICS AND CONSIDERATIONS	EH-53

DIRECTIVE	TITLE	ASSIGNED OFFICE
DOE G 450.3-2	ATTRIBUTES OF EFFECTIVE IMPLEMENTATION	EH-53
DOE G 450.3-3	TAILORING FOR INTEGRATED SAFETY MANAGEMENT APPLICATIONS	EH-53
DOE G 450.4-1B	INTEGRATED SAFETY MANAGEMENT SYSTEM GUIDE FOR USE WITH DOE P 450.4, DOE P 450.5, AND DOE P 450.6) THE FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, AND THE DOE ACQUISITIONS REGULATIONS	EH-53
SEN-22-90	DOE POLICY ON SIGNATURES OF RCRA PERMIT APPLICATIONS	EH-41
SEN-35-91	NUCLEAR SAFETY POLICY	EH-53